

12/06/00

12-08-00

EL 652931290 US  
Mailed Dec 6, 2000

PTO/SB/05 (08-00)

Please type a plus sign (+) inside this box

Applicable for use through 10/31/2002. OMB 0651-0032  
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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. NODL-P1

First Inventor Sernet

Title Online Commodities Trading ...

Express Mail Label No. EL 652931290 US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 26]  
(preferred arrangement set forth below)
- Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 9]
5. ☐ Oath or Declaration [Total Pages 3]
- a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 17 completed)
- i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application. see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

**ADDRESS TO:**Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
  - ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☒ Power of  
(when there is an assignee) Attorney  
(with Decl.)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS  
Citations
13. ☐ Preliminary Amendment
14. ☐ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Other: .....

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: \_\_\_\_\_ / \_\_\_\_\_

Prior application information:

Examiner \_\_\_\_\_

Group / Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**18. CORRESPONDENCE ADDRESS**☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence address below

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Name (Print/Type)	Leighton K. Chong	Registration No. (Attorney/Agent)	27,621
Signature	Leighton K. Chong		Date 12/6/00

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 355.00

## Complete if Known

Application Number  
Filing Date  
First Named Inventor Sernet  
Examiner Name  
Group Art Unit  
Attorney Docket No. NODL-P1

## METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number  
Deposit Account Name 15-0699

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 710	201 355	Utility filing fee	355.00
106 320	206 160	Design filing fee	
107 490	207 245	Plant filing fee	
108 710	208 355	Reissue filing fee	
114 150	214 75	Provisional filing fee	

SUBTOTAL (1) (\$)

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20** =	X	
Multiple Dependent	-3** =	X	

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 80	202 40	Independent claims in excess of 3
104 270	204 135	Multiple dependent claim, if not paid
109 80	209 40	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 355.00

\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for ex parte reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 390	216 195	Extension for reply within second month	
117 890	217 445	Extension for reply within third month	
118 1,390	218 695	Extension for reply within fourth month	
128 1,890	228 945	Extension for reply within fifth month	
119 310	219 155	Notice of Appeal	
120 310	220 155	Filing a brief in support of an appeal	
121 270	221 135	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,240	241 620	Petition to revive - unintentional	
142 1,240	242 620	Utility issue fee (or reissue)	
143 440	243 220	Design issue fee	
144 600	244 300	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Petitions related to provisional applications	
126 240	126 240	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 710	249 355	For each additional invention to be examined (37 CFR § 1.129(b))	
179 710	279 355	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify)

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

## SUBMITTED BY

Name (Print/Type)	Registration No. (Attorney/Agent)	Telephone
Leighton K. Chong	27,621	808-533-4300
Signature	Date	
Leighton K. Chong	12/6/00	

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**Appendix A****Elements of the New Bid/New Offer/Counterbid/Counteroffer/Details screens:**

<b>Name of Corporate Trader</b>	Name of trader using system
<b>Transaction Number</b>	These are unique system assigned transaction ID numbers.
<b>Contract Number</b>	The number of the contract. These are unique system assigned contract ID numbers.
<b>Contract Date</b>	The date of the contract shown when a deal has closed.
<b>Name of Counterpart</b>	
<b>Remain Posted After the Original Posting is Gone?</b> (YES/NO)	*Only in Counter forms. Specifies if the counterbid/counteroffer will remain posted after the original posting it was posted against is gone (when the original deal has not been matched).
<b>Posting Duration</b> (User selects from #hours or Until Canceled)	*Only in New Bid/New Offer/Counter forms Specifies the amount of time that the bid/offer will remain posted.
<b>Group #</b>	*Only in New Bid/New Offer/Counter forms Places the posting in the group selected by the user.
<b>Commodity Information</b>	
<b>Type of Sugar</b> (Whites/Raws)	Specifies the type of sugar being traded.
<b>Origin</b> (User selects from a pre-populated list of countries)	Specifies the origin of the sugar.
<b>Quantity</b> (User enters a number for tons of sugar)	Specifies the amount of sugar being traded.
<b>Tolerance</b> (User selects from a list between 0.0%, 2.5%, 5% or 10.0%)	Specifies the tolerance level for the quantity of sugar being shipped. The user does not select a tolerance for a min/max shipment (leave the default 0% setting)
<b>Price</b> (User selects from a list of components making up the price)	Specifies the price of sugar. Price is determined by market, month, pts or dollars, and contract number.
<b>Fixed Price</b> (User enters an amount)	Alternately the user may indicate the price by entering the fixed price per metric ton.
<b>Quality:</b>	

	selection process. To select <i>all</i> the ports from a country or region, select the port option with the * after it. Example, Brazil.* selects all Brazilian ports.
<b>Shipment Date</b> (User selects a range of dates from drop down lists)	Specifies the time frame in which the sugar can be shipped. A beginning and end date must be selected. Date range must have some time in the future.
<b>Packing</b> (Bags/Bulk)	Specifies whether the sugar will be bagged or whether it will be transferred in bulk.
<b>Bag Type / Containers</b> (User selects from None, Polyjutes, Polypropylene or Other from a drop down list and selects Containers or No Containers)	This option is available when 'Bags' is selected for Packing. Specifies the type of bags to be used and whether or not they will be in containers.

The bottom of the forms allows the user to specify the shipping terms on which to ship the sugar.

<b>Loading Terms</b> (User enters loading terms in loading term formats)	Specifies how many tons of sugar can be loaded per day per hatch per exclusions.
<b>Unloading Terms</b> (User enters unloading terms in loading term formats)	Specifies how many tons of sugar can be unloaded per day per hatch per exclusions.
<b>As per Charter party</b>	This allows the users to let the charter party set Demurrage and Dispatch rates.
<b>Demurrage Rate</b> (User enters rate with a maximum of six digits)	Specifies penalty in price for slow loading. Expressed as dollars per day.
<b>Dispatch Rate</b> (User enters rate with a maximum of six digits)	Specifies bonus in price for fast loading. Expressed as dollars per day. *Rate is usually half the demurrage rate and is automatically filled in by the system. User has the option of modifying this rate.
<b>Payment</b> (User selects from a list: CAD through a Bank, CAD, L/C or Other)	Specifies the payment terms for the delivery of the sugar.
<b>Ship Requirement</b> (User selects from a list: Bulk Carrier, Twin Decker, Panamax, Cape Size or None)	Specifies special ship requirements
<b>Arbitration</b> (User selects from a list)	Specifies the company that will settle arbitration disputes.
<b>Standard Contract Terms</b> (User enters terms of contract into a textbox)	Show the standard contract terms as entered by the CT.
<b>Special Terms</b> (User enters misc. special terms into a textbox)	Allows the user to define any special terms for the contract not captured by the system.

<b>MIN Pol</b> (User enters a number greater than or equal to 96)	Minimum Polarization quality measure.
<b>MAX Pol</b> (User enters a number greater than or equal to 96)	Maximum Polarization quality measure.
<b>Icumsa</b> (User enters a number)	Quality measure.
<b>Humidity</b> (User enters a number in percent format i.e. Must be less than 1.00)	Quality measure.
<b>Ashes</b> (User enters a number in percent format i.e. Must be less than 1.00)	Quality measure.
<b>Shipment Information</b>	
<b>Term</b> (User selects from FOB Stowed, FOB Stowed Range, FAS, CIF, or CFR)	Specifies the shipment terms.
<b>Liner Out/Free Out</b> (User selects from a list)	This option can be selected if the terms of shipment are CIF or CFR. If terms other than these are selected, NONE is defaulted.
<b>Notice of Readiness</b> (User enters a number)	Notice of Readiness for shipment
<b>Shipment Origin</b> (User selects the Country/Region and Ports from drop down lists)	<p>User may specify acceptable and unacceptable ports for the sugar by first selecting the desired country or region and then selecting a port from the list. The user then clicks on the 'Add Acceptable Ports' or 'Add Not Acceptable Ports' button. User may also remove ports from the list by selecting the port and clicking the 'Remove' button.</p> <p>*To select one or more ports, repeat the selection process. To select <i>all</i> the ports from a country or region, select the port option with the * after it. Example, Brazil.* selects all Brazilian ports.</p>
<b>Shipment Destination</b> (User selects the Country/Region and Ports from drop down lists)	<p>*This option is only available if the user chooses User may specify acceptable and unacceptable ports for the sugar by first selecting the desired country or region and then selecting a port from the list. The user then clicks on the 'Add Acceptable Ports' or 'Add Not Acceptable Ports' button. User may also remove ports from the list by selecting the port and clicking the 'Remove' button.</p> <p>*To select one or more ports, repeat the</p>

## **Appendix B**

### **Computer hardware and software needed to run NodLeT application**

- **Computer/Processor:**  
486DX/66 MHz or higher. (a Pentium processor is preferred.)
- **Operating System:**  
Windows 95, Windows 98, or Windows NT 4.0. If you are running a version of Windows NT, you must be running Windows NT Service Pack 3 or higher. *If you are running the Hebrew or Arabic version of Windows 98, you cannot install the English language version of Internet Explorer 5.*
- **Memory:** (128MB is desired for good performance)  
For Windows 95/98 and Windows NT:  
32MB of RAM minimum.
- **Hard drive space:**  
Minimal install (Browser-only)  
Required for install: 45MB  
Required to run: 27 MB after restart.  
  
Typical install:  
Required for install: 70 MB  
Required to run: 55 MB after restart.  
  
Full Install:  
Required for install: 111MB  
Required to run: 80 MB after restart.
- **Mouse & Modem**
- **Internet connection**
- **CD-ROM drive** (if installation is done from a CD-ROM)
- **Some components may require additional systems resources not outlined above**
- **Browser:** Microsoft Explorer higher than 4.0; preferably 5.0
- **Internet access speed** (56KB)